

Substitute for form 1449A-PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Application Number	10/781,804
Filing Date	February 20, 2004
First Named Inventor	Neil EKLUND, et al.
Art Unit	3692
Examiner Name	Heather L BEEGLE
Attorney Docket Number	52493.000363

Sheet

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## U.S. PATENT DOCUMENTS

*Examiner Initials	Cite No.	DOCUMENT NUMBER Number - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US- 5126936	06-30-1992	Champion et al.	
		US- 5148365	09-15-1992	Dembo	
		US- 5195026	03-16-1993	Nonaka	
		US- 5202827	04-13-1993	Sober	
		US- 5210687	05-11-1993	Wolfberg	
		US- 5347446	09-19-1994	Iino	
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		US- 5587897	12-24-1996	Iida	
		US- 5590037	12-31-1996	Ryan	
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		US- 5930762	07-27-1999	Masch	
		US- 5991744	11-23-1999	DiCresce	
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		US- 6003018	12-14-1999	Michaud	
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		US- 6078904	06-20-2000	Rebane	
		US- 6092050	07-18-2000	Lungren	
		US- 6098051	08-01-2000	Lupien	
		US- 6138102	10-24-2000	Hinckley	
		US- 6161096	12-12-2000	Bell	
		US- 6219649	04-17-2001	Jameson	
		US- 6240399	05-29-2001	Frank et al.	
		US- 6275814	08-14-2001	Giasante et al.	
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		US- 6393409	05-21-2002	Young et al.	
		US- 6405179	06-11-2002	Rebane	
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		US- 6470321	10-22-2002	Cumming	
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		US- 20020138299	09-26-2002	Nations	
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		US- 20040078244	04-22-2004	Katcher	
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		US- 20040225536	11-11-2004	Schoen	
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		US- 20020032585	03-14-2002	Keyes	
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		US-			

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**OTHER DOCUMENTS - NON-PATENT LITERATURE DOCUMENTS**

*Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and-or country where published	TRANSLATION	
			YES	NO
		JPMorgan/Reuters RiskMetrics™ - Technical Documents Fourth Edition, Dec. 17, 1996	<input type="checkbox"/>	<input type="checkbox"/>
		Jorge Mina & Andrew Ulmer Delta-Gamma Four Ways August 31, 1999	<input type="checkbox"/>	<input type="checkbox"/>
		Stefan Pichler & Karl Selitsch A Comparison of Analytical VaR Methodologies for Portfolios That Include Options December 1999	<input type="checkbox"/>	<input type="checkbox"/>
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		Eklund, Neil Holger White, Multiobjective visible spectrum optimization: A genetic algorithm approach, Rensselaer Polytechnic Institute, Volume 6311B of Dissertations Abstracts International, 2002	<input type="checkbox"/>	<input type="checkbox"/>
		Abbass, H.A., Sarker, R Newton, C, PDE:a Pareto-frontier differential evolution approach for multi-ojective optimization problems, Proceedings of the 2001 Congress on Evolutionary Computation, volume 2, IEEE, May 27-30, 2001	<input type="checkbox"/>	<input type="checkbox"/>
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		Masud, Abu, Interactive Sequential Goal Programming, The Journal of the Operational Research Society, Vol. 32, No. 5 (May 1981), pp. 391-400	<input type="checkbox"/>	<input type="checkbox"/>
		Bellmore, M, Generalized Penalty function Concepts in Mathematical Optimization, Operations research, Vol. 18, No. 2 (March-April 1970), pp. 229-252	<input type="checkbox"/>	<input type="checkbox"/>
		Iwamura, K., Chances constrained integer Programming Models for Capital Budgeting in Fizzy Environments, The Journal of the Operational Research Society, Vol. 49, No. 8 (August 1998), pp. 854-860	<input type="checkbox"/>	<input type="checkbox"/>
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		Country Code Number-Kind Code (if known)					YES	NO
		JP	7-85110 (Abstract)	03-031-1995	Nobuaki		<input type="checkbox"/>	<input type="checkbox"/>
		JP	63-279301 (Abstract)	11-16-1988	Masahiro et al.		<input type="checkbox"/>	<input type="checkbox"/>
		EP	0356191 A2	02-28-1990	Freedman et al.		<input type="checkbox"/>	<input type="checkbox"/>
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		WO	95/25295	09-21-1995	Krist et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	96/18162	06-13-1996	Atkins		<input type="checkbox"/>	<input type="checkbox"/>
		WO	98/13776	04-02-1998	Masch		<input type="checkbox"/>	<input type="checkbox"/>
		WO	99/23592	05-14-1999	Young et al.		<input type="checkbox"/>	<input type="checkbox"/>
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		WO	99/49399	09-30-1999	Lang		<input type="checkbox"/>	<input type="checkbox"/>
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		WO	01/31481 A2	05-03-2001	Bullard et al.		<input type="checkbox"/>	<input type="checkbox"/>
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		WO	01/77872 A2	10-18-2001	Plumer et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	01/84355 A2	11-08-2001	Narang et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	01/93153 A1	12-06-2001	Seidel et al.		<input type="checkbox"/>	<input type="checkbox"/>
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